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Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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PTO	UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	P TO	
Attorney Docket No. <u>05284</u> (maximum 12 characters) First Named Inventor <u>Dicks</u>		75265E	
Title: SYSTEM AN	D METHOD TO ORGANIZE AND MANAGE CORPORATE CAPITALIZATION AND SECURITES		
Express Mail Label No. <u>EL</u>		1 de	

ADDRESS TO: **Assistant Commissioner for Patents** 

		Box Patent Application Washington, D. C. 20231
		ELEMENTS
See	MPEP cha	upter 600 concerning utility patent application contents.
1.	<u>x</u>	Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)
2.		Applicant Claims Small Entity Status. (37 CFR 1.27)
3.	<u>x</u>	Specification (Total Pages) (preferred arrangement set forth below) - Descriptive Title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure
4.	_X	Drawings(s) (35 USC 113) (Total Sheets 11)
5.	<u> </u>	Oath or Declaration (Total Pages _4_)
		a Newly Executed (Original or Copy)
		b Copy from a Prior Application (37 CFR 1.63(d)) (for Continuation/Divisional with Box 17 completed)
		i. <u>DELETIONS OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
		c. <u>x</u> Unsigned.
6.	<u>x</u>	Application Data Sheet. (37 CFR 1.76)
7.		CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.	(if applicable	Nucleotide and/or Amino Acid Sequence Submission, all necessary)
	a	Computer Readable Form (CRF)
	b	Specification Sequence Listing on: iCD-ROM or CD-R (2 copies); or ii paper
	c	Statement verifying identity of above copies

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<b>9.</b>	Assignment Papers (cover sheet & documents(s)) a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)						
	b. Power of Attorney						
11	English Translation Document (if applicable)						
12	a. Information Disclosure Statement (IDS)/PTO-1449						
	b. Copies of IDS Citations						
13	Preliminary Amendment						
14. <u>x</u>	Return Receipt Postcard (MPEP 503) (Should be specifically itemized)						
15	Certified Copy of Priority Document(s) (if foreign priority is claimed)						
16.	Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent</u> .						
17. <u>x</u>	Other: Express Certificate of Mailing						
	FINUING APPLICATION, check appropriate box and supply the requisite information:						
Of Prior Appli	ntinuation Divisional Continuation-in-part (CIP) cation No.: Examiner Group Art Unit						
(which is a c which is a c	ontinuation/ divisional/ CIP of prior application no, ontinuation/ divisional/ CIP of prior application no) (List entire chain of priority)						
an oath or decla continuation or	ION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which ration is supplied under Box 5b, is considered a part of the disclosure of the accompanying divisional application and is hereby incorporated by reference. The incorporation can only then a portion has been inadvertently omitted from the submitted application parts.						
The under the assignee of	t under 37 CFR 3.73(b) for <u>continuing</u> application:  signed states that (name of assignee) is the entire right, title, and interest in the accompanying patent application by virtue of an orded in the Patent and Trademark Office at Reel. No Frame No						
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**ACCOMPANYING APPLICATION PARTS** 

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106	320	206	160	Design application filing fee			
107	490	207	245	Plant filing fee			_
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## FEE CALCULATION (continued) **ADDITIONAL FEES Small Entity** Large Entity Fee Fee Fee Fee Fee Paid **Fee Description** Code (\$) Code (\$) Surcharge - late filing fee or oath 205 65 105 130 Surcharge - late provisional filing fee 227 25 127 50 or cover sheet Non-English specification 130 139 139 130 For filing a request for reexamination 2,520 147 2,520 147 Requesting publication of SIR prior to 920\* 112 920\* 112 **Examiner action** Requesting publication of SIR after 113 1,840\* 113 1,840\* **Examiner action** Extension for response within first month 55 115 110 215 Extension for response within second month 195 116 390 216 Extension for response within third month 217 445 117 890 Extension for response within fourth month 218 695 1,390 118 Extension for response within fifth month 228 945 1,890 128 **Notice of Appeal** 310 219 155 119 Filing a brief in support of an appeal 155 120 310 220 Request for oral hearing 135 221 121 270 Petition to institute a public use proceeding 1,510 138 138 1.510 Petition to revive unavoidably abandoned 240 55 140 110 application Petition to revive unintentionally 620 141 1,240 241 abandoned application Utility issue fee (or reissue) 142 1,240 242 620 Design issue fee 243 220 143 440 Plant issue fee 244 300 144 600 **Petitions to the Commissioner** 122 130 122 130 Petitions related to provisional applications 123 50 123 50 **Submission of Information Disclosure Stmt** 126 240 240 126 Recording each patent assignment per 40 581 40 581 property (times number of properties) For filing a submission after final rejection 146 710 246 355 (see 37 CFR 1.129(a)) For each additional invention to be examined 355 149 710 249 (see 37 CFR 1.129(b)) Request for Continued Examination (RCE) 710 279 355 179 Request for expedited examination of a design 900 169 900 169 application Other fee (specify) Other fee (specify) SUBTOTAL (3) \$\_\_\_\_0 \*Reduced by Basic Filing Fee Paid SUBMITTED BY: James H. Salter Typed or Printed Name: Date: 12/29/0 Signature: **Telephone Number:** <u>(408) 720-8300</u> <u>35,666</u> Reg. Number: